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July 1, 2002

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Commissioner for Patents  
Washington, D.C. 20231

Art Unit 2681  
RECEIVED  
JUL 03 2002  
Technology Center 2600

Re: U.S. Utility Patent Application  
Appl. No. 09/982,106; Filed: October 19, 2001  
For: **Method and System for Intelligently Forwarding Multicast Packets**  
Inventors: Jain *et al.*  
Our Ref: 1988.0110000

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. List of cited documents on Form PTO-1449 (3 pages) ;
3. A copy of each document cited on Form PTO-1449 (7 documents); and
4. One (1) Return Postcard.

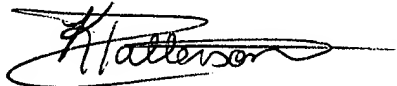
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents  
July 1, 2002  
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency,  
or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Kendrick P. Patterson  
Attorney for Applicants  
Registration No. 45,321

KPP/dnk  
Enclosures

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of:

Jain *et al.*

Appl. No. 09/982,106

Filed: October 19, 2001

For: **Method and System for  
Intelligently Forwarding  
Multicast Packets**

Confirmation No. 6774

Art Unit: 2681

Examiner: *To be assigned*

Atty. Docket: 1988.0110000

**Information Disclosure Statement**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not

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be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated

in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 5. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 6. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C.

§ 120. Thus, copies of these documents are not attached. 37 C.F.R.  
§ 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,


STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "K. Patterson", enclosed within a large, loopy oval shape.

Kendrick P. Patterson  
Attorney for Applicants  
Registration No. 45,321

Date: 7/1/2002

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	FORM PTO-1449	ATTY. DOCKET NO. 1988.0110000	APPLICATION NO. 09/982,106
	INFORMATION DISCLOSURE STATEMENT	APPLICANT Jain et al.	
	FILING DATE October 19, 2001	GROUP 2681	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA1					
	AB1					
	AC1					
	AD1					
	AE1					
	AF1					
	AG1					
	AH1					
	AI1					
	AJ1					
	AK1					

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL1					Yes No
	AM1					Yes No
	AN1					Yes No
	AO1					Yes No
	AP1					Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	"BigIron Architecture Technical Brief," Foundry Networks, Inc., May 1999, pp. 1-15.
AS	1	Estrin, D. et al., "Protocol Independent Multicast-Sparse Mode (PIM-SM): Protocol Specification," RFC 2362 [online]. Network Working Group, The Internet Society, June 1988 [retrieved on January 24, 2002]. Retrieved from the Internet:<URL: <a href="ftp://ftp.isi.edu/in-notes/rfc2362.txt">ftp://ftp.isi.edu/in-notes/rfc2362.txt</a> >, pp. 1-62.
AT	1	Fenner, W., "Internet Group Management Protocol, Version 2," RFC 2236 [online]. Network Working Group, The Internet Society, November 1997 [retrieved on February 14, 2002]. Retrieved from the Internet:<URL: <a href="ftp://ftp.isi.edu/in-notes/rfc2236.txt">ftp://ftp.isi.edu/in-notes/rfc2236.txt</a> >, pp. 1-23.

EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1988.0110000APPLICATION NO.  
09/982,106APPLICANT  
Jain et al.FILING DATE  
October 19, 2001GROUP  
2681

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA2					
	AB2					
	AC2					
	AD2					
	AE2					
	AF2					
	AG2					
	AH2					
	AI2					
	AJ2					
	AK2					

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL2					Yes No
	AM2					Yes No
	AN2					Yes No
	AO2					Yes No
	AP2					Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

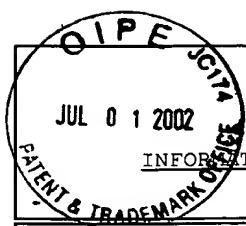
AR	2	McCloghrie, K., "Internet Group Management Protocol MIB," RFC 2933 [online]. Network Working Group, The Internet Society, October 2000 [retrieved on February 14, 2002]. Retrieved from the Internet:<URL: <a href="ftp://ftp.isi.edu/in-notes/rfc2933.txt">ftp://ftp.isi.edu/in-notes/rfc2933.txt</a> >, pp. 1-18.
AS	2	Rodbell, M., "PIM-Sparse Mode: Elements of Procedure," CSD Magazine [online]. CMP Media, LLC, January 1999 [retrieved September 17, 2001]. Retrieved from the Internet:<URL: <a href="http://www.csdmaq.com/main/1999/9901/9901standards.htm">http://www.csdmaq.com/main/1999/9901/9901standards.htm</a> >, 6 pages.
AT	2	Rosen, E., et al., "Multiprotocol Label Switching Architecture," RFC 3031 [online]. Network Working Group, The Internet Society, January 2001 [retrieved January 24, 2002]. Retrieved from the Internet:<URL: <a href="ftp://ftp.isi.edu/in-notes/rfc3031.txt">ftp://ftp.isi.edu/in-notes/rfc3031.txt</a> >, pp. 1-57.

EXAMINER

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA3						
	AB3						
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	AE3						
	AF3						
	AG3						
	AH3						
	AI3						
	AJ3						
	AK3						

## FOREIGN PATENT DOCUMENTS

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	AL3						Yes No
	AM3						Yes No
	AN3						Yes No
	AO3						Yes No
	AP3						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>3</u>	Simpson, W., "The Point-to-Point Protocol (PPP)," RFC 1661 [online]. Network Working Group, The Internet Society, July 1994 [retrieved February 14, 2002]. Retrieved from the Internet:<URL: <a href="ftp://ftp.isi.edu/in-notes/rfc1661.txt">ftp://ftp.isi.edu/in-notes/rfc1661.txt</a> >, pp. 1-50.
AS	<u>3</u>	
AT	<u>3</u>	

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